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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Sun Microsystems, Inc.

Application No./Patent No.: 10/006,089

Filed/Issue Date: December 6, 2001

Titled: System and Method for managing Information Objects

Sun Microsystems, Inc., a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

the patent application/patent identified above, by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy therefore is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

/Robert C. Kowert/

December 7, 2010

Signature

Date

Robert C. Kowert

Attorney for Applicant

Printed or Typed Name

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

## Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

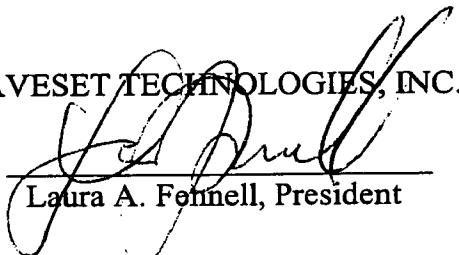
## ASSIGNMENT OF PATENT APPLICATIONS BY CORPORATION

For good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned WAVESET TECHNOLOGIES, INCORPORATED, a Texas corporation having a business address at 6034 West Courtyard Drive, Suite 210, Austin, TX 78730, ("Assignor") does hereby:

- (a) represent and warrant that Assignor is the sole owner of the patent applications listed on the Attachment ("Applications");
- (b) assign and transfer to SUN MICROSYSTEMS, INCORPORATED, a Delaware corporation having a business address at 4150 Network Circle, Santa Clara, California 95054 ("Assignee"), all of Assignor's right, in the United States, its territorial possessions, and all foreign countries, to: (i) any and all inventions described in each Application listed on the Attachment; (ii) said Applications; (iii) any patent which may be granted therefor; and (iv) any patent applications or patents which may claim priority of said Applications (including but not limited to any and all continuations, divisions, continuations-in-part, substitutes, reissues, reexaminations or extensions thereof, and all other rights, together with all priority rights, under any existing or future international patent conventions, unions, agreements, acts or treaties);
- (c) agree, upon request by and at the expense of Assignee (or its successors, assigns or legal representatives), to: (i) execute all oaths, assignments, powers of attorney and any other papers; (ii) testify in any legal or quasi legal proceedings; (iii) take any action; and (iv) otherwise fully cooperate with Assignee; in connection with perfecting Assignee's title, or securing, maintaining and enforcing Assignee's rights, under this assignment; and
- (d) represent, warrant and covenant that no assignment, grant, mortgage, license or other agreement inconsistent with the rights and property herein conveyed to Assignee has been made or shall be made by Assignor.

Date: February 20, 2004

WAVESET TECHNOLOGIES, INC.

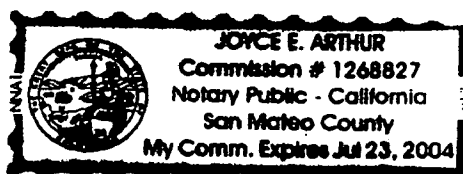
By:   
Laura A. Fennell, President

STATE OF California §  
COUNTY OF Santa Clara§

BEFORE ME, the undersigned authority, on this 20<sup>th</sup> day of February 2004, personally appeared Laura A. Fennell known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that ~~he~~ she executed the same of his own free will for the purposes and consideration therein expressed.

  
Notary or Consular Officer

[SEAL]



Assignment of Patent Applications by Corporation


SUN MICROSYSTEMS, INC.

Date: March 3, 2004

By:   
Michael Dillon, Vice President and Officer

STATE OF California §  
§  
COUNTY OF Santa Clara §

BEFORE ME, the undersigned authority, on this 3rd day of March, 2004, personally appeared Michael Dillon known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/~~she~~ executed the same of his own free will for the purposes and consideration therein expressed.

  
Notary or Consular Officer

[SEAL]

